

| Risk Ref | Corporate Priority | Date Identified | Source | Service Area | Risk Identified | Potential Consequence | Inherent Risk | | | Current Controls | Risk Owner | Portfolio Holder | Proposed Further Actions / Controls | Residual Risk | | | Notes | |
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| ASC8 | Services delivered for less Supporting people in the community | 15/07/2015 | SIP | Adult Social Care | The Council's ability to recommission the Domiciliary Care Service by April 2018, at the end of the current framework period. | Domiciliary Care Service fails, leaving service users at risk. Reputational and financial impact / damage. The Council would not be providing domiciliary care services according to procurement regulations. | M | C | High | 8 | Implement approved provider list (Dynamic Purchasing System). Progressive rollout. Engagement with providers via contract management process. Action Plan & Accountability Framework. Action within SIP. Portfolio Holder delegated decision report was agreed for Domiciliary Care Framework Options (July 2017). Market position statement will lead into a Domiciliary Care Strategy. | Phil Evans Cllr Stephen Hayes | Improved working arrangements with PAVO to support and build capacity in the 3rd sector; Move from traditional provider / commissioner relationship to co-production with stakeholders; Develop outcome based commissioning. Integrated approach with PTHB to design a joint domiciliary service model. | I | H | Medium | 3 | |
| CR2 | Services delivered for less Supporting people in the community Developing the economy Learning | 15/07/2015 | HoS | Organisational Development | Inability to recruit the level and scale of staff required to vacant posts across the organisation due to inability to attract and/or an unsustainable employable local demographic. | Insufficient staff to meet service demands; Inability to progress service development. Financial implication of using agency staff/contractors. | H | H | High | 9 | - Powys County Council Recruitment Campaign. | Sarah Powell Cllr James Evans | Develop workforce plans looking at workforce demographics over next 5-10 years, skills and workforce training; Recruitment of Workforce Planner within PTHB will be able to support an element of the ASC workforce planning. Move to a new approach of values based recruitment process. RROOTS Project (Recruiting & Retaining Our Own Talent and Skills). Work with PCC/Heath Board to understand new skill mix required. Conversations held with WG re: new Qualification Framework. Grown Your Own / Career Graded Apprenticeship Approach. | M | H | Medium | 6 | |
| CR17 | Services delivered for less Supporting people in the community | 22/01/2016 | SMT | Corporate | Living wage and increased pension requirements are resulting in increased financial pressure. | Additional financial implications; Some ASC providers may remove provision; Inability to meet statutory requirements; Unaffordable within current budget. | H | C | High | 12 | Working with ASC providers to understand increased cost pressures; Funding identified for 2017/18 in the budget process. Identify capacity issues. All change projects allocated a project manager. Regular budget monitoring. ICF money from WG to engage with Work undertaken with Vanguard. | David Powell Cllr Aled Davies | Continuation of existing controls. | L | C | Medium | 4 | |
| CR11 | Supporting people in the community | 14/09/2015 | CEO | Social Care | Implementation of Continuity of provision of WCCIS (DRAIG replacement). Financial model has not been implemented. | Loss of data resulting in officers being unable to access client files. Continuity of reporting; Loss of data. | H | H | High | 9 | Ongoing support from ICT: - SIP Objective 2017 - ICT1 Support post implementation benefit release of the National WCCIS system. Some data will become available beginning of November enabling reporting and practice. | Phil Evans Cllr Stephen Hayes | Delivery plan for the proposed WCCIS finance model. | H | H | High | 9 | WCCIS went live 24th April 2017. |

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| CG1 | Services delivered for less | Prior to 2014 | SIP.L.V 2 | Legal | Failure of governance. | Council acts ultra vires; Contravenes finance regulations and EU procurement regulations. Failure to distribute | M | M | Medium | 4 | All work is report based and there is a mechanism in place by which appropriate checks are made - two checks are made by Finance and two checks by Legal (Section 151 Officer and Monitoring Officer). | David Powell Cllr Aled Davies | ModernGov Phase 2 to be completed by end of April 2018 . Input required from company to provide training. Will be piloted with one service initially. This will insist on timely provision of reports and will send reminder emails to the appropriate officers; Programme Governance Action Plan - spot audits of Programme Boards; Audit of Programme Board governance; Regulatory Reports | L | M | Low | 2 | The software is extensively used by WG and automatically sends reminder emails to officers. |
| CG2 | Services delivered for less | 21/11/2012 | Risk Register 21/11/12 12.11 | Corporate | Data Protection Breaches | Information Commissioners Intervention. Financial Penalties | H | H | High | 9 | <ul style="list-style-type: none"> Information Governance Plan supported by the Corporate Information Governance Group which meets on a quarterly basis; Ensure we comply with corporate training requirements and quality assure our processes; IT equipment encrypted; Policies and procedures in place; Staff training; Printer security controls; Data transmission controls (secure email). | Phil Evans Cllr James Evans | Introduction of information asset owners; Information Asset Register; Information Risk Assessments. | M | M | Medium | 4 | |
| CR1 | Services delivered for less | 21/11/2012 | Risk Register 21/11/12 12.100 | Corporate | The Council is unable to manage the level of financial cuts required by the Welsh Government and the relatively poor funding position | The Council incurs significant overspend. Projected budget will suffer an overspend. Penalties and fines may be imposed Council reputation damaged | H | H | High | 9 | Medium Term Financial Plan; Cost Recovery work; 3rd party spend reduction; Income Generation; Monthly reports to cabinet and Management Team on budget progress and progress on savings; Budget Challenge Events; Moved to a 3 year balanced budget; Budget Management Reserve; Impact Assessments; Resource Delivery Plan. | Jane Thomas Cllr Aled Davies | Re-establishment of the Income & Cost Improvement Board. | M | H | Medium | 6 | |
| CR3 | Services delivered for less Supporting people in the community Developing the economy Learning | 21/11/2012 | Risk Register 21/11/12 12.92 | Corporate | Inadequate Corporate Governance arrangements for shared services and partnerships | Failure to effectively deliver services | H | H | High | 9 | A number of Section 33 Agreements are in place and are overseen by Joint Partnership Board. | David Powell Cllr Rosemarie Harris | A new model template is currently being developed for 2017/18 which will make signing off of future Section 33 Agreements much easier. | M | H | Medium | 6 | WAO report to AC 22/4/15 identified that S.33 agreement has improved service resilience and reduced IT risk, and S.33 arrangements provide a good basis for integrated working. |

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| CR4 | Services delivered for less Supporting people in the community Developing the economy Learning | 21/11/2012 | Risk Register 21/11/12-12.102 | Corporate | Failure to deliver on the One Powys Plan (OPP) / Corporate Improvement Plan (CIP) | Failure to deliver the aims and objectives outlined within Council Plans. | H | M | Medium | 6 | Programme Managers lead on each of the programmes within the OPP and CIP. Programme Boards meet bi-monthly and monitor progress of projects. This is then reported to the Transformational Board and PSB. Programme Office adopted corporate risk assessment methodology. Scrutiny challenge and feedback sessions using Performance Evaluation Grids. Greater transparency of the reporting process. Clearer lines of accountability and responsibility. Sharing learning and knowledge between PCC and PTHB Programme Office. Resource Hub established. | David Powell Cllr Rosemarie Harris | Continue to monitor progress on the programmes. Regular meetings between Programme Sponsors and Programme Managers to identify and unblock any issues that arise. | M | M | Medium | 4 | Risk closed 31/3/2017. | |
| CR5 | Services delivered for less Supporting people in the community | 21/11/2012 | Risk Register 21/11/12 12.102 | Corporate | Lack of a clear definition and structure to support the organisation's commissioning and commercial vision. | Commissioned services not delivered in accordance with the Council's vision and priorities. | H | M | Medium | 6 | Commercial Services Team implemented; E-Learning; Gateway process; Contract Management; CS involved in all Strategic Commissioning Projects; CS rep at DMTs/SMTs. Commissioning Toolkit embedded into the organisation and the new CCPS and staff trained across directorates. A Commissioning Commercial and Procurement Strategy (CCPS) has been drafted and is currently being consulted on (close 10th August) this will then be tabled to the Cabinet for approval. Contract Management Training has been undertaken between May and July and a further enhanced course will be run in September. Consultation closed and published, report being prepared for portfolio holder to sign off (November 2017). | David Powell Cllr Aled Davies | Key messages around Commissioning communicated to all employees; Visibility of the contracts register; Introduction of Commissioning Toolkit; Understand how services initiate the commissioning process; Commissioning Training; Commercial & Commissioning Strategy being drafted; Contract Management Training. Further training to be undertaken within Commercial services to enhance public procurement skills. Work also to be undertaken to enhance tendering for community/voluntary sector organisations working with Business Wales/Powys Association of Voluntary Organisations. Introduction of new structure and staff members into the service. | M | M | Medium | 4 | | |

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| CR6 | Services delivered for less Supporting people in the community Developing the economy Learning | 21/11/2012 | Risk Register 21/11/12 12.90 | Corporate | Lack of adequate resilience planning | Non-compliance with Civil Contingencies Act (CCA) 2004; Failure to deliver critical services in the event of a declared emergency or event. | M | H | Medium | 6 | Education and training programme; Business Continuity Management (BCM) Group established; Services supported to produce their own Business Continuity Plans (BCPs); Self-evaluation of BCM incorporated into SIP process; PCC representation on Dyfed Powys Local Resilience Forum (LRF); 24/7 Duty Emergency Planning Officer to facilitate PCC response. | David Powell | Cllr Aled Davies | Continual engagement with BCM Champions via quarterly Business Continuity Group; Services to continue to develop and test their BCPs; External Education and Training with LRF Partners to ensure Integrated Emergency Management (IEM); Recent audit undertaken by Internal Audit team, resulting in an Action Plan. | L | M | Low | 2 | |
| CR10 | Services delivered for less | 21/11/2012 | Risk Register 21/11/12 12.07 | Corporate | Failure to monitor and protect Council assets | Theft and abuse of Council property | H | M | Medium | 6 | Each service should have its own asset register; All ICT equipment should be recorded on the ICT central asset register. | Mark Evans | Cllr James Evans | Ensure that all services have their own asset registers in place; Incorporate into Starters and Leavers process. | M | M | Medium | 4 | |
| PL1 | Services delivered for less | Prior to 2014 | SIP | Place Directorate | The authority doesn't have a sufficiently robust risk assessment process for the management of Health & Safety (H&S) across the organisation. In addition to this, due to nature of the work carried out in HTR, considerable reliance is placed on the workforce to deliver services safely, in the interests of both staff and public. | Injury to individuals and risk to the Authority; People could be seriously or fatally injured; Exposure to litigation. | H | H | High | 9 | Health and Safety meetings, revenues, training and audit; Public liability insurance; Procurement - external contractors risk statements - monitoring. Promotional campaign for risk assessment for staff across the authority completed w/e 26/05/2017; Staff bulletin issued; Management Team (MT) briefing cascaded to ensure learning is understood by all staff responsible for H&S; | Paul Griffiths | Cllr James Evans | Continually review robust site supervision and monitoring processes internally and externally with contractors; Full review of risk assessments to be undertaken by all Service Areas - Risk assessment audit process currently being reviewed by H&S team; H&S to be included within IPRs; MT considering sufficiency of current mechanism for managing H&S; | M | H | Medium | 6 | |
| ICS1 | Services delivered for less Supporting people in the community Developing the economy Learning | Prior to 2014 | SIP.ICT. ? | ICT and Programmes | Current systems are not covered by a fully resilient DR Solution (Infrastructure and Policies/processes) | Failure to maintain key ICT services in the event of a major incident. | H | H | High | 9 | Close working with Microsoft and Platform Consultancy to explore utilising the latest cloud services. This will provide both a backup solution and disaster recovery solution. This will provide PCC with the ability to instantly power up all replicated servers in the cloud. Microsoft Data Protection Manager will perform nightly backups to on-site storage, this will then be replicated into Azure blob storage as an off-site back for long-term storage. | Mark Evans | Cllr James Evans | Replacement of existing systems; Fire prevention for server rooms; Second link from a second site within the North of the County to replicate systems; New systems which are purchased require cloud hosting capability; DR and BC within 2017/18 SIP; SLA discussions will also impact the solutions; Engagement with external provider to identify and provide a suitable BC solution. | H | H | High | 9 | |

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| RPC2 | Services delivered for less | Updated 19th April 2016 | SIP.PPP.V1 | Regeneration, Property & Commissioning - Environmental Health | a) Legal challenge to PCC's intention to hand back responsibility of privately owned closed landfill sites back to the landowners; b) Liabilities arising from PCC owned closed landfill site portfolio. | a) Costs arising from legal challenge and future liabilities. b) Potential legal action by NRW should an incident occur. | H | H | High | 9 | a) QC advice sought at the outset, and supporting the Council's stance. b) We have two specialist Contaminated Land Officers who will seek external legal advice when appropriate, and work closely with Natural Resources Wales. c) Appeal heard June 2017, currently awaiting result. | Paul Griffiths Cllr Jonathon Wilkinson | PCC won appeal at the High Court, however the aggrieved party is seeking permission to appeal this decision. | L | H | Medium | 3 | |
| RPC6 | Services delivered for less Developing the economy | Prior to 2014 Risk updated 05/04/2016 | SBP 2014/17 | Regeneration, Property & Commissioning - Spatial Planning | Failure to adopt the LDP | Reputational damage to the Council and a period when the Council would determine planning applications without an adopted LDP. Financial implications due to increased costs to produce LDP. | H | H | High | 9 | There has been close working relationships with WG officers. Examination process of re-submitted LDP has been completed, it went well. But currently awaiting response from Planning Inspector. | Paul Griffiths Cllr Martin Weale | Currently awaiting response from the Planning Inspector. | M | H | Medium | 6 | |
| RPC12 | Services delivered for less | 11/12/2015 | HoS | Regeneration, Property & Commissioning | We have identified £1M of urgent health and safety works (electricals, sewerage systems, asbestos etc.) that need to be undertaken on the 139 Farm Houses in our estate. | Financial and reputation risk to the Council if the remedial works are not undertaken. | H | H | High | 9 | A further £500k capital identified to undertake work in 2017/2018. | Paul Griffiths Cllr Jonathon Wilkinson | Rolling programme of works. Funding for the urgent works has been dealt with as part of the Council's overall budget setting process. £500k capital works (urgent works) has been completed. Programme developed for the next 2 years to address the highest priority cases. | M | H | Medium | 6 | |
| SS1 | Services delivered for less Learning | 13/01/2015 | SMT | Schools Service | Non-delivery of the Schools Transformation Programme Risk of legal challenge to consultation process which will impact on 21st Century Capital programme Political dimension with a motion that all decision-making in respect of school reorganisation is made by full Council. | infrastructure which is not contributing to the Authority's efficiency agenda, and leading to poor educational outcomes. Delay in delivery of programme due to political dimension and potential loss of WG funding. | H | H | High | 9 | Primary Schools Welshpool—temporary Governing Body in place and staffing processes near completion. Gwernyfed—work commenced on the building of the 5 new Primary Schools. Temporary Governing Body established for Ysgol y Mynydd-Du and staffing process near completion. Secondary Schools Mid Powys—temporary Governing Body established for the new mid Powys Secondary School and Head teacher appointed. South Powys—OBC approved for new build in Brecon and investment in Gwernyfed. North Powys—Business case | Ian Budd Cllr Myfanwy Alexander | Secondary Schools Meeting with Cabinet planned for the commencement of the Autumn term to establish the transformation priorities for the term of the current Council. | H | H | High | 9 | Risk closed 07/11/2017. |

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| CR14 | Services delivered for less Learning | 13/01/2015 | SMT | Corporate | Condition and security of buildings, premises and sites. | <ul style="list-style-type: none"> Breach of Equalities legislation; Failure to comply with H&S legislation; Failure to be able to provide services in a suitable way to the public, and accommodation which is suitable for staff. | M | H | Medium | 6 | Strategic review of office accommodation in progress. Schools Review of Special Schools; 21st Century Schools Programme (prioritised according to pupil vulnerability); A new Schools Service Major Improvement Programme Scoring and Prioritisation criteria was agreed by Cabinet 3/3/15, and it was also agreed a spend of £1m per year for the next three years. | David Powell | Cllr Phyl Davies | Strategic Outline Plan for 21st Century Schools and Capital Investment Programme; Revision of Schools Service Asset Management Plan including: - <ul style="list-style-type: none"> Revision of SLAs as part of JVC (incorporating Property Plus); Defined Client side role; Develop robust SLA with clearly defined roles; Develop a commissioning model; Understanding of how work is commissioned. Health & Safety Officer carrying out a rolling programme of audits. Further guidance to be issued to schools in September relating to Health & Safety and Safeguarding. | L | H | Medium | 3 | |
| CR15 | Services delivered for less Supporting people in the community | 25/01/2016 | PCC Welfare Reform Advisory Group | Business Services | The welfare reform programme and roll out of Universal Credit has likelihood of large impact on Powys citizens, in addition to HRA income. Access to IT equipment Resourcing issue, particularly in Libraries | Customers having less income and requiring support to adjust; Resilience of service to continue to provide additional service as UC increases; In subsidy audit potential penalty imposed; Rent collection rates drop, resulting in a loss of income for the HRA. | V | M | High | 8 | Provide financial advice. Administer discretionary housing payments (DHP) to people who are unable to manage their housing costs (WG allocated fund); Steering Group chaired by Portfolio Holder; Communication and money advice to support people; Financial advisers employed. Digital support being provided (training to staff). Establishment of Operational Group within Powys to co-ordinate activities of joint communications plan, joint training plan. Support from DWP - training, help with launches (Joint Powys & DWP introductions). | Mark Evans | Cllr Aled Davies | Financial profiling of tenants; Using Shire meetings to notify members; Discussions around working with Credit Unions to mitigate potential loss of income. Lessons learned via UC LA Group. Training provided to all support staff within Council. | H | M | Medium | 6 | Universal Credit will be rolled out in Powys by June 2018. |
| CR16 | Services delivered for less Developing the economy | 07/07/2016 | Audit Committee | | The impact on the Council as a result of Brexit | Interest rates, negative impact on investments and the pension fund, wider economic impact, exchange rates, European funding grants. | H | H | High | 9 | Close monitoring; Cabinet briefed; Advice from pension advisers; Continue to work with WEFO. | Mark Evans | Cllr Aled Davies | Continue to monitor economic indicators. Ongoing dialogue with external advisers. | H | H | High | 9 | Residual risk rating increased following Audit Committee (2/11/2017). |
| CR7 | Services delivered for less | 04/11/2016 | Audit Committee | Corporate | Transition post-election of the Pensions Committee | Insufficient skills to oversee the Pension fund | H | M | Medium | 6 | The Pensions Board is fully trained and holds a great amount of training and expertise. This Board is available to provide assistance to the Pensions Committee if required. | Mark Evans | Cllr Aled Davies | Implement training plan previously developed for the Pensions Board, to develop members of the Pensions Committee where required. | L | M | Low | 2 | |

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| ICS8 | Services delivered for less Supporting people in the community Developing the economy Learning | 13/01/2016 (Revised 03/04/2017) | ICT SMT | ICT and Programmes | Failure to control and secure ICT systems and data against unauthorised access including Cyber-crime attack. | Corrupt data resulting in data loss. Corrupt machines resulting in system down time. Loss of internet access resulting in reputational damage. Financial consequences if we were held to ransom. | V | H | High | 12 | Anti-virus software. Anti-malware software. Anti-spam software on email system. Firewalls. Security controls in place and continuously reviewed. Secure copies of data kept in the cloud to allow restoration of systems. Staff awareness of ICT security via e-learning. | Mark Evans | Cllr James Evans | ICT Governance reviewed and has directed a new BC to be authorised based on the results of field testing conducted on 3 products. Currently evaluating a product. Resilient systems to be implemented to allow delivery of ICT systems if main site compromised. Review to be undertaken of the NCSC 10 Steps to Cyber Security, to include: - 1. Risk Management Regime; 2. Network Security; 3. User education and awareness; 4. Malware prevention; 5. Removable media controls; 6. Secure configuration; 7. Managing user privileges; 8. Incident management; 9. Monitoring; 10. Home and mobile working. Patching (updating software to ensure they have no vulnerabilities). Implementation of Government Cyber | M | H | Medium | 6 | |
| HTR2 | Services delivered for less | 2014 | SIP | Highways, Transport & Recycling | Meeting the requirement of the MTFS, including achievement of savings and income generation targets. | Financial implications for the Authority - budget will suffer an overspend. Impact on other services / functions. | H | H | High | 9 | Regular review through the MTFS and corporate governance; Programme and Project Boards; Finance report to Cabinet | Paul Griffiths | Cllr Liam Fitzpatrick / Cllr Phyl Davies | Monitoring and reporting through corporate systems | H | H | High | 9 | Potential overspend of £168 in 17/18 (Period 6 forecast). Note also 18/19 MTFS target of £1.7m for Commissioning and £200k of further savings on the HWRCs. |
| LR24 | Services delivered for less Supporting people in the community Developing the economy Learning | 2016 | LR SIP 2016-19 Objective LR10 | Leisure & Recreation | Brecon Cultural Hub cost plan under continual pressure due to inflationary increases, complexity of design programme and other factors. Potential over-run beyond agreed budget. | Breaches in financial and project plans, resulting in project having to stop, or further funds having to be sought from Council . | H | H | High | 9 | Sourcing additional external funding (partially successful and ongoing). Continued working detailed design spec/materials and tender packages to determine detailed costings. Raising awareness internally and with responsible Portfolio holders, Strategic Director and senior officers, along with partners and Stakeholders. Raise concerns at early stages, and raise through Programme Board and Project Board. Project Manager in place who has building and project management experience and knowledge. | Paul Griffiths | Cllr Rachel Powell | Continuation and expansion of project development activity including cost engineering reduction exercise and design refinements and acquisition of accurate tender prices and costings | H | H | High | 9 | |

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| CR18 | Supporting people in the community | 13/11/2017 | HoS | Adult Social Care | 1. Ability to meet the £2.2m savings target for 2017/18. 2. Addressing the deficit in the FRM for 2018/2019. | Financial implications for the Authority - budget will suffer an overspend. Impact on other services / functions. | H | H | High | 9 | - Regular budget monitoring and reviewing of the savings tracker. - Creative use of grant opportunities. - Practice development to support independence within a resilient community with service provision as a last resort. - Transformation plan agreed which is input into the budget review. - Review currently being undertaken by finance. | Phil Evans Cllr Stephen Hayes | - Further resource to support the work is being negotiated. - Review of readiness assessment. - One of the tracked savings under reablement is being re-profiled across 3 years, therefore the £2.2m savings target is reduced. - Income generation ideas being explored. | H | H | High | 9 | | |
| HTR4 | Services delivered for less | 16/11/2017 | SIP | Highways, Transport & Recycling | To provide safe highways assets and structures as far as reasonably practical | Breach of statutory duties and subsequent financial and reputational demand, e.g. third party claims. | H | H | High | 9 | Careful prioritisation of work and resource allocation (Capital budget). Revenue budget (cleaning, sweeping, winter maintenance). | Paul Griffiths Cllr Liam Fitzpatrick | Capital investment in highway network, road safety grants; Revise and update Highways Asset Management Plan; Determine future levels of service; Improve operational delivery. | H | H | High | 9 | | |
| CS4 | Supporting people in the community | 14/11/2017 | SMT | Children's Services | Develop structure to respond to CSSIW report (August 2017). | - Meeting regulatory and legislative duties. - Managing demand on the service. - Risk to children. - Recruitment and retention of staff. - Staff morale. - Reputational damage. | H | H | High | 9 | - Improvement Board. - Partnership Board (with other agencies). - Increase number of qualified social workers. - Communications strategy (internal/external). - Monitoring by CSSIW. - Report to Minister/CSSIW every 90 days. - Improved monitoring structures with Elected Members. - Updated and implemented supervision programme. - Monitoring of timeliness of assessment. | Phil Evans Cllr Rachel Powell | - Continuation of current controls. | H | H | High | 9 | | |

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| CS5 | Supporting people in the community | 14/11/2017 | SMT | Children's Services | Not having sufficient foster or respite placements. | - Children at risk. - Children placed greater distance from families. - Children in residential placements as no alternative available. - Children not having needs met. | H | H | High | 9 | - Fostering marketing and recruitment campaign developed. - Increased scrutiny of corporate parenting from Elected Members. - Part of Improvement Plan. - Active monitoring of children's placements and associated budgets. - All out of county (high cost) placements monitored through a multi-agency improvement panel. | Phil Evans | CLlr Rachel Powell | - Develop in-house provision to generate income to create efficiencies. - Increase in house capacity. - Increase early intervention to ensure families stay together. - Development of Edge of Care services. - CYPP to develop services for children across all agencies in Powys (prevent). - Develop provision for respite across the county. - MAAP process needs to be reviewed. - Strong communications links for recruitment for carers. | H | H | High | 9 | |